

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr. Confirmation No.: 7636
Application No. : 09/715,876
Filing Date : November 18,2000
Title : Pharmaceutical Compositions and Methods To Vaccinate Against
Disseminated Candidiasis
Group Art Unit : 1645
Examiner : Sarvamangala J.N. Devi
Docket No. : 13361.4001
Customer No. : 34313

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

REQUEST TO CORRECT INVENTORSHIP UNDER 37 CFR § 1.48(a)

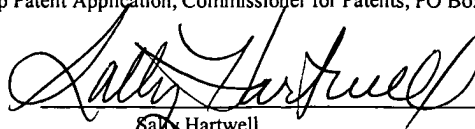
Sir or Madam:

Pursuant to 37 CFR § 1.48(a), the sole assignee, Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center, hereby petitions to correct inventorship of the above-identified patent, which currently lists John E. Edwards, Jr., Scott G. Filler, Jim Cutler, Donald C. Sheppard, Ashraf S. Ibrahim, and Yue Fu as joint inventors. Jim Cutler was named as an inventor in error and without deceptive intent in the non-provisional application, and should be removed from the list of inventors. Bradley J. Spellberg inadvertently was not named as an inventor, and should be added to

CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: December 27, 2005


Sally Hartwell

DOCSOC1:168836.1

12/30/2005 PMETEK11 00000011 150655 09715076

02 FC:1464 130.00 DA

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

the list of inventors. Thus, the correct inventorship of the subject matter claimed in this non-provisional patent application is John E. Edwards, Jr., Scott G. Filler, Donald C. Sheppard, Ashraf S. Ibrahim, Yue Fu, and Bradley J. Spellberg.

As evidenced by the Statements of John E. Edwards, Jr., Scott G. Filler, Jim Cutler, Donald C. Sheppard, Ashraf S. Ibrahim, Yue Fu and Bradley J. Spellberg for Correction of Inventorship, which are submitted herewith pursuant to 37 CFR §1.48(a), the error in inventorship occurred without deceptive intention on the parts of John E. Edwards, Jr., Scott G. Filler, Jim Cutler, Donald C. Sheppard, Ashraf S. Ibrahim, Yue Fu and Bradley J. Spellberg.

John E. Edwards, Jr., a current co-inventor submitting a statement under § 1.48(a)(3), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of John E. Edwards, Jr. for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(3).

Scott G. Filler, a current co-inventor submitting a statement under § 1.48(a)(3), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Scott G. Filler for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(3).

Jim Cutler, a current co-inventor submitting a statement under § 1.48(a)(2), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Jim Cutler for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(2).

Donald C. Sheppard, a current co-inventor submitting a statement under § 1.48(a)(3), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Donald C. Sheppard for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(3).

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
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Ashraf S. Ibrahim, a current co-inventor submitting a statement under § 1.48(a)(3), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Ashraf S. Ibrahim for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(3).

Yur Fu, a current co-inventor submitting a statement under § 1.48(a)(3), does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Yue Fu for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(3).

Bradley J. Spellberg does not disagree to the change in inventorship effected by this petition as evidenced by the Consent of Bradley J. Spellberg for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(2).

The sole assignee, Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center, agrees to the change in inventorship effected by this petition as evidence by the Consent of Assignee for Correction of Inventorship, which is submitted herewith pursuant to § 1.48(a)(5).

The required petition fee of \$130.00 pursuant to § 1.48(a)(4) is included. The Commissioner is hereby authorized to charge the required petition fee of \$130.00 pursuant to § 1.48(a)(4) as well as any additional fees that may be required to Deposit Account No. 15-0665.

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
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Please accept and enter this correction of Inventorship. Should the Examiner have any questions or comments, the Examiner is invited to call the undersigned at (949) 567-6700.

Respectfully submitted,

Dated: December 27, 2005

By:



Kurt T. Mulville

Reg. No. 37,194

Orrick, Herrington & Sutcliffe LLP
4 Park Plaza, Suite 1600
Irvine, CA 92614-2558
Tel. 949-567-6700
Fax: 949-567-6710



DECLARATION

As a below named inventor, I hereby declare that:

This declaration is of the following type:

- | | | | |
|-------------------------------------|-----------------------|--------------------------|----------------------|
| <input checked="" type="checkbox"/> | original | <input type="checkbox"/> | divisional |
| <input type="checkbox"/> | design | <input type="checkbox"/> | continuation |
| <input type="checkbox"/> | supplemental | <input type="checkbox"/> | continuation-in-part |
| <input type="checkbox"/> | national stage of PCT | | |

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Pharmaceutical Compositions and Methods to Vaccinate Against Disseminated Candidiasis**, the specification of which

- (a) ☐ is attached hereto OR
- (b) ☒ was filed on November 18, 2000 as United States Application Serial No. 09/715,876 and was amended on 8/7/02, 4/9/03, 9/22/03, 10/14/03, 6/18/04, 1/18/05, 7/1/05 and 7/25/05 if applicable
- (c) ☐ was described and claimed in PCT International Application No. _____, filed on _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56, including for continuation-in-parts applications, material information which became available between the filing date of the prior application and the filing date of the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 USC 119 (a) – (d), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by check the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s) or any PCT international application having a filing date before that of the application of which priority is claimed.

- (d) ☒ no such applications have been filed
- (e) ☐ such application have been filed as follows:

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date
60/166,663	November 19, 1999

I hereby claims the benefit under 35 USC § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 USC § 112, I acknowledge the duty to disclose material information as defined in 37 CFR § 1.56(a), regarding events which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status-patented, pending, abandoned

Direct all correspondence to :

Customer No.

34313

Orrick, Herrington & Sutcliffe LLP
 Attn: **Kurt T. Mulville**
 4 Park Plaza, Suite 1600
 Irvine, CA 2614-2558
 Tel. (949) 567-6700
 Fax. (949) 567-6710

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name JOHN	MIDDLE Initial E.	LAST Name EDWARDS, JR.	
	RESIDENCE & CITIZENSHIP	City Palos Verdes	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	3708 Via La Selva	City Palos Verdes	State or Country California	Zip Code 90274

INVENTOR'S SIGNATURE

Date:

202	FULL NAME OF INVENTOR	FIRST Name SCOTT	MIDDLE Initial G.	LAST Name FILLER	
	RESIDENCE & CITIZENSHIP	City Rancho Palos Verdes	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	28890 King Arthur Court	City Rancho Palos Verdes	State or Country California	Zip Code 90275

INVENTOR'S SIGNATURE

Date:

203	FULL NAME OF INVENTOR	FIRST Name DONALD	MIDDLE Initial C.	LAST Name SHEPPARD, M.D.	
	RESIDENCE & CITIZENSHIP	City Montreal, QC	State or Foreign Country Canada	Country of Citizenship Canada	
	POST OFFICE ADDRESS	5531 Chemin de la Cote St. Antoine	City Montreal, QC	State or Country Canada	Zip Code H4A 1R3

INVENTOR'S SIGNATURE

Date:

204	FULL NAME OF INVENTOR	FIRST Name ASHRAF	MIDDLE Initial S.	LAST Name IBRAHIM, Ph.D.	
	RESIDENCE & CITIZENSHIP	City La Mirada	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	8192 Andora Drive	City La Mirada	State or Country California	Zip Code 90638

INVENTOR'S SIGNATURE

Date:

Direct all correspondence to :

Customer No.

34313

Orrick, Herrington & Sutcliffe LLP

Attn: Kurt T. Mulville

4 Park Plaza, Suite 1600

Irvine, CA 2614-2558

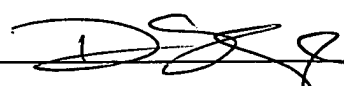
Tel. (949) 567-6700

Fax. (949) 567-6710


I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.


201	FULL NAME OF INVENTOR	FIRST Name JOHN	MIDDLE Initial E.	LAST Name EDWARDS, JR.	
	RESIDENCE & CITIZENSHIP	City Palos Verdes	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	3708 Via La Selva	City Palos Verdes	State or Country California	Zip Code 90274
INVENTOR'S SIGNATURE			Date:		

202	FULL NAME OF INVENTOR	FIRST Name SCOTT	MIDDLE Initial G.	LAST Name FILLER	
	RESIDENCE & CITIZENSHIP	City Rancho Palos Verdes	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	28890 King Arthur Court	City Rancho Palos Verdes	State or Country California	Zip Code 90275
INVENTOR'S SIGNATURE			Date:		

203	FULL NAME OF INVENTOR	FIRST Name DONALD	MIDDLE Initial C.	LAST Name SHEPPARD, M.D.	
	RESIDENCE & CITIZENSHIP	City Montreal, QC	State or Foreign Country Canada	Country of Citizenship Canada	
	POST OFFICE ADDRESS	5531 Chemin de la Cote St. Antoine	City Montreal, QC	State or Country Canada	Zip Code H4A 1R3
INVENTOR'S SIGNATURE 			Date: 12/19/5		

204	FULL NAME OF INVENTOR	FIRST Name ASHRAF	MIDDLE Initial S.	LAST Name IBRAHIM, Ph.D.	
	RESIDENCE & CITIZENSHIP	City La Mirada	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	8192 Andora Drive	City La Mirada	State or Country California	Zip Code 90638
INVENTOR'S SIGNATURE			Date:		

205	FULL NAME OF INVENTOR	FIRST Name YUE	MIDDLE Initial	LAST Name FU	
	RESIDENCE & CITIZENSHIP	City Torrance	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	21501 S. Vermont Ave., Apt. 101A	City Torrance	State or Country California	Zip Code 90502-1914
INVENTOR'S SIGNATURE				Date: 12/14/2005	

206	FULL NAME OF INVENTOR	FIRST Name BRADLEY	MIDDLE Initial J.	LAST Name SPELLBERG	
	RESIDENCE & CITIZENSHIP	City Ranchos Palos Verdes	State or Foreign Country California	Country of Citizenship United States	
	POST OFFICE ADDRESS	30140 Avenida Celestial	City Ranchos Palos Verdes	State or Country California	Zip Code 90502
INVENTOR'S SIGNATURE				Date: 12/14/05	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr., et al Confirmation No.: 7636
Application No. : 09/715876
Filing Date : November 18, 2000
Title : Pharmaceutical Compositions and Methods To Vaccinate Against
Disseminated Candidiasis
Group Art Unit : 1645
Examiner : Sarvamangala J.N. Devi
Docket No. : 13361.4001
Customer No. : 34313

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

DECLARATION OF YUE FU FOR CORRECTION OF INVENTORSHIP

Sir:

I, **Yue Fu**, declare that I am a co-inventor of the subject application. Jim Cutler was inadvertently added as a co-inventor on the application as filed. Bradley J. Spellberg was omitted as a co-inventor on the application as filed. There was no deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: December 27, 2005

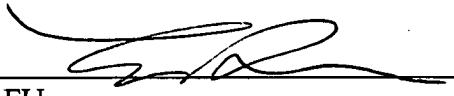

Sally Hartwell

DOCSOC1:168845.1

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 12/14/2005


YUE FU



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr., et al Confirmation No.: 7636
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Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

DECLARATION OF SCOTT G. FILLER FOR CORRECTION OF INVENTORSHIP

Sir:

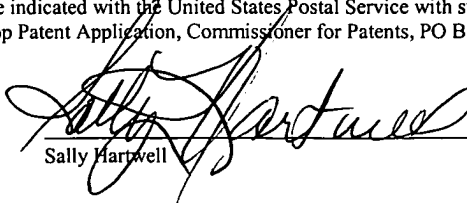
I, **Scott G. Filler**, declare that I am a co-inventor of the subject application. Jim Cutler was inadvertently added as a co-inventor on the application as filed. Bradley J. Spellberg was omitted as a co-inventor on the application as filed. There was no deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

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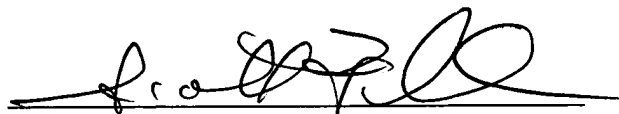

Sally Hartwell

DOCSOC1:168842.1

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 12/14/05


SCOTT G. FILLER



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr., et al Confirmation No.: 7636
Application No. : 09/715876
Filing Date : November 18, 2000
Title : Pharmaceutical Compositions and Methods To Vaccinate Against
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Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

DECLARATION OF JOHN E. EDWARDS, JR. FOR CORRECTION OF INVENTORSHIP

Sir:

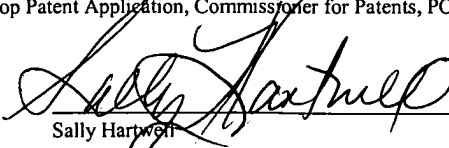
I, **John E. Edwards, Jr.**, declare that I am an inventor of the subject application. Jim Cutler was inadvertently added as a co-inventor on the application as filed. Bradley J. Spellberg was omitted as a co-inventor on the application as filed. There was no deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

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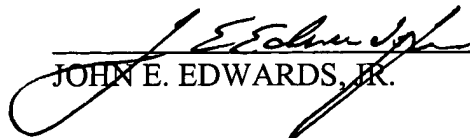

Sally Hartwell

DOCSOC1:168841.1

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 12/9/05


JOHN E. EDWARDS, JR.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr., et al Confirmation No.: 7636
Application No. : 09/715876
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Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

DECLARATION OF ASHRAF S. IBRAHIM FOR CORRECTION OF INVENTORSHIP

Sir:

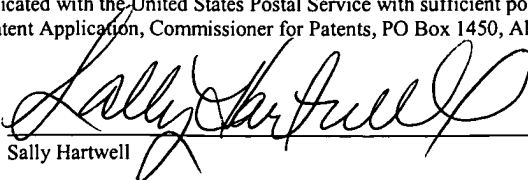
I, **Ashraf S. Ibrahim**, declare that I am a co-inventor of the subject application. Jim Cutler was inadvertently added as a co-inventor on the application as filed. Bradley J. Spellberg was omitted as a co-inventor on the application as filed. There was no deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

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Dated: December 27, 2005


Sally Hartwell

DOCSOC1:168844.1 B2C

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
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Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: _____

12/14/2005



ASHRAF S. IBRAHIM



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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DECLARATION OF DONALD C. SHEPPARD FOR CORRECTION OF INVENTORSHIP

Sir:

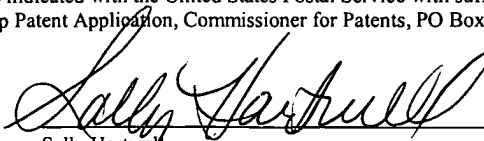
I, **Donald C. Sheppard**, declare that I am a co-inventor of the subject application. Jim Cutler was inadvertently added as a co-inventor on the application as filed. Bradley J. Spellberg was omitted as a co-inventor on the application as filed. There was no deceptive intent on my part.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

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Sally Hartwell

DOCSOC1:168843.1

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 12/19/5


DONALD C. SHEPPARD



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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CONSENT OF ASSIGNEE FOR CORRECTION OF INVENTORSHIP

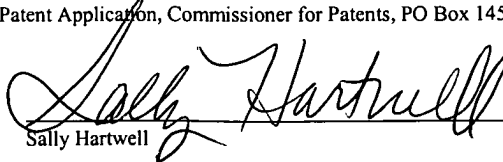
Sir:

In conformance with 37 C.F.R. § 1.48(a), the assignee, Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center, agrees with the correction of inventorship in the above-identified patent, which deletes Jim Cutler as a co-inventor, and adds Bradley J. Spellberg as a co-inventor.

CERTIFICATE OF MAILING (37 CFR §1.8)

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Sally Hartwell

DOCSOC1:168846.1

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Examiner : S.J.N. Devi
Docket No. : 13361.4001

In conformance with 37 C.F.R. § 3.73(b), Harbor-UCLA Research and Education Institute, currently named Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center (as of June 23, 2004) is the assignee of the entire right, title, and interest in this application by reason of an assignment from John E. Edwards, Jr., Scott G. Filler, Jim Cutler, Donald C. Sheppard, Ashraf S. Ibrahim, Yue Fu, and Bradley J. Spellberg, recorded on March 16, 2001, is herewith submitted.

Respectfully submitted,

Dated: December 8, 2009


KENNETH P. TREVETT
President and Chief Executive Officer



2351-1
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JUNE 18, 2001

PTAS



101675216A

LYON & LYON LLP
KURT T. MULVILLE
633 WEST FIFTH STREET, SUITE 4700
LOS ANGELES, CA 90071-2066

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/16/2001

REEL/FRAME: 011670/0357
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

EDWARDS, JOHN E. JR., M.D.

DOC DATE: 03/13/2001

ASSIGNOR:

FILLER, SCOTT G., M.D.

DOC DATE: 03/09/2001

ASSIGNOR:

CUTLER, JIM, PH.D.

DOC DATE: 03/07/2001

ASSIGNOR:

SHEPPARD, DONALD C., M.D.

DOC DATE: 03/09/2001

ASSIGNOR:

IBRAHIM, ASHRAF, PH.D.

DOC DATE: 02/12/2001

ASSIGNOR:

FU, YUE

DOC DATE: 02/12/2001

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U.S. PROSECUTION

011670/0357 PAGE 2

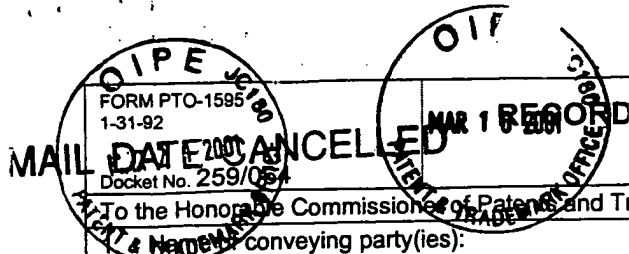
ASSIGNEE:

HARBOR-UCLA RESEARCH AND EDUCATION
INSTITUTE
1124 WEST CARSON STREET
TORRANCE, CALIFORNIA 90502-2064

SERIAL NUMBER: 09715876
PATENT NUMBER:

FILING DATE: 11/18/2000
ISSUE DATE:

VIOLET MCCOY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



04-16-2001



101675216

FORM PTO-1595
1-31-92

Docket No. 259/054

To the Honorable Commissioner of Patents and Trademarks. Please record the attached legal documents or co.

1. Name of conveying party(ies):

John E. Edwards, Jr., M.D., Scott G. Filler, M.D., Jim Cutler, Ph.D., Donald C. Sheppard, M.D., Ashraf Ibrahim, Ph.D., and Yue Fu

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Security Agreement☐ Other☒ Merger☐ Change of Name

Execution Date: 3/13/01; 2/9/01; 3/7/01; 3/9/01; 2/12/01; and 2/12/01

2. Name and address of receiving party:

Name: Harbor-UCLA Research and Education Institute

Internal Address: _____

City: _____ State: _____ Zip: _____

Street Address: 1124 West Carson Street

City: Torrance State: CA Zip: 90502-2064

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/715,876

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kurt T. Mulville

Internal Address: LYON & LYON LLP

633 West Fifth Street, Suite 4700
Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed☒ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number: 12-2475

DO NOT USE THIS SPACE

9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kurt T. Mulville, Reg No. 37,194

Date: March 16, 2001

Total number of pages including cover sheet: 9

OMB No. 0651-0011 (exp. 4/94)

04/13/2001 TDIAZI 00000117 122475 09715876

01 FC:581 40.00 CH

ASSIGNMENT OF PATENT APPLICATION

WHEREAS, I, John E. Edwards, Jr., M.D., a citizen of UNITED STATES, Scott G. Filler, M.D., a citizen of UNITED STATES, Jim Cutler, Ph.D., a citizen of UNITED STATES, Donald C. Sheppard, M.D., a citizen of CANADA, Ashraf Ibrahim, Ph.D., a citizen of UNITED STATES, and Yue Fu, a citizen of UNITED STATES, (hereinafter referred to as "ASSIGNOR"), have invented and own a certain invention entitled **PHARMACEUTICAL COMPOSITIONS AND METHODS TO VACCINATE AGAINST DISSEMINATED CANDIDIASIS** for which application for Letters Patent of the United States of America was filed on 11/19/2000 and assigned United States Application Serial No. 09/715,876; and

WHEREAS, **HARBOR-UCLA RESEARCH AND EDUCATION INSTITUTE**, a corporation organized and existing under and by virtue of the laws of the State of California and having its principal place of business at **1124 West Carson Street, Torrance, California 90502-2064** (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns, transfers and sets over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNOR hereby authorizes and requests the Commissioner of Patents and



Patent
259/064

WITNESS my hand at Torrance, CA

California, this 13 day of March, 2001, 2001.

John E. Edwards, Jr.
JOHN E. EDWARDS, JR., M.D.

STATE OF CALIFORNIA)

) ss

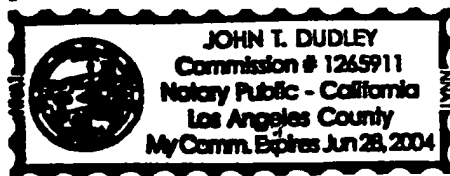
COUNTY OF LOS ANGELES)

On MAR 13, 2001 before me, JOHN T. DUDLEY, personally appeared
JOHN E. EDWARDS, JR., M.D.

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

John T. Dudley
Notary Public in and for said County and State



MAIL DATE CANCELLED

Patent
259/064



WITNESS my hand at Torrance

California, this 9 day of March, 2001.

Scott G. Filler
SCOTT G. FILLER, M.D.

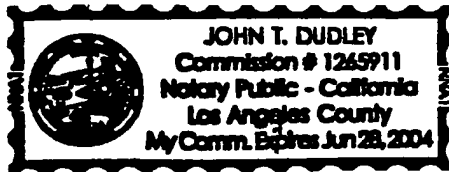
STATE OF CALIFORNIA)
COUNTY OF LOS ANGELES) ss

On MAR 9 2001 before me, JOHN T. DUDLEY, personally appeared
SCOTT G. FILLER, M.D.

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

John T. Dudley
Notary Public in and for said County and State





Patent
259/064

WITNESS my hand at BOZEMAN

MONTANA
~~California~~, this 7 day of MARCH, 2001.

Jim Cutler
JIM CUTLER, Ph.D.

MONTANA
STATE OF ~~MISSOURI~~)
COUNTY OF GALLATIN) ss

On 3/7/01 before me, Jim Cutler, personally appeared
JIM CUTLER, Ph.D.

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

My Commission Expires 08/11/04

Clyde F. Carroll
Notary Public in and for said County and State



Patent
259/064



WITNESS my hand at Torrance

California, this 9th day of March, 2001.

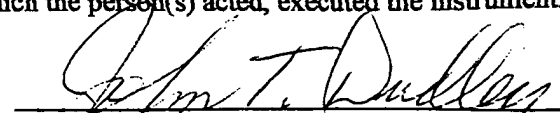

DONALD C. SHEPPARD, M.D.

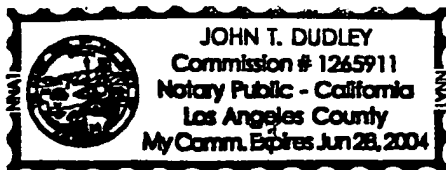
STATE OF CALIFORNIA)
) ss
COUNTY OF LOS ANGELES)

On MAR. 9, 2001 before me, JOHN T. DUDLEY, personally appeared
DONALD C. SHEPPARD, M.D.

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State





Patent
259/064



WITNESS my hand at TORRANCE

California, this 12TH day of FEBRUARY, 2001.

Ashraf Ibrahim
ASHRAF IBRAHIM, Ph.D.

STATE OF CALIFORNIA)

) ss

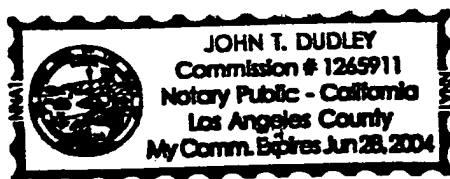
COUNTY OF LOS ANGELES)

On Feb. 12, 2001 before me, **JOHN T. DUDLEY**, personally appeared
ASHRAF IBRAHIM, Ph.D.

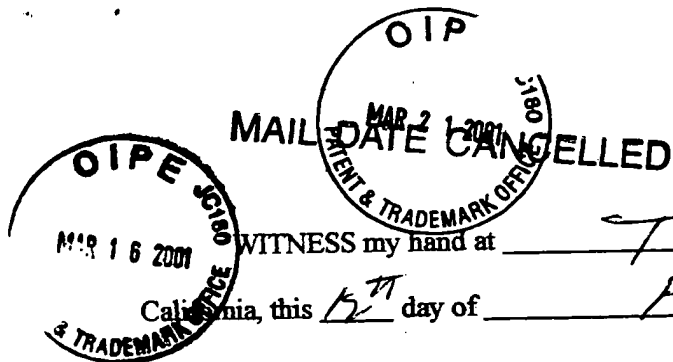
☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

John T. Dudley
Notary Public in and for said County and State



Patent
259/064



WITNESS my hand at TERRANCE
California, this 12th day of FEBRUARY, 2001.

[Signature]
YUE FU

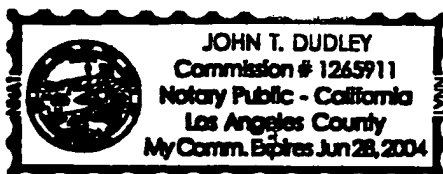
STATE OF CALIFORNIA)
) ss
COUNTY OF LOS ANGELES)

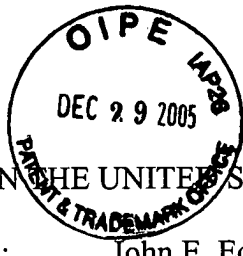
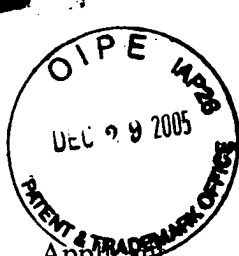
On Feb 12, 2001 before me, JOHN T. DUDLEY, personally appeared
YUE FU

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

[Signature]
Notary Public in and for said County and State





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John E. Edwards, Jr., et al Confirmation No.: 7636
Application No. : 09/715876
Filing Date : November 18, 2000
Title : Pharmaceutical Compositions and Methods To Vaccinate Against
Disseminated Candidiasis
Group Art Unit : 1645
Examiner : Sarvamangala J.N. Devi
Docket No. : 13361.4001
Customer No. : 34313

DECLARATION OF JIM CUTLER FOR CORRECTION OF INVENTORSHIP

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

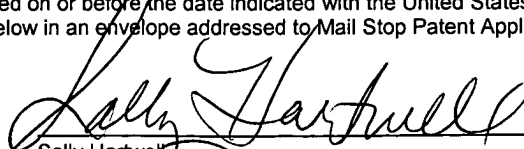
I, **Jim Cutler**, declare that I am **not** an inventor of the subject application. I was inadvertently added as an inventor on the application as filed. There was no deceptive intent on my part. I agree to the deletion of my name from this application as a co-inventor and agree to the addition of Bradley J. Spellberg.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by

CERTIFICATE OF MAILING (37 CFR §1.8)

I hereby certify, pursuant to 37 CFR §1.8, that I have reasonable basis to expect that this paper or fee (along with any referred to as being attached or enclosed) would be mailed or transmitted on or before the date indicated with the United States Postal Service with sufficient postage as first class mail on the date shown below in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Dated: December 27, 2005


Sally Hartwell

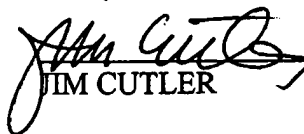
DOCSOC1:168839.1

Applicant : John E. Edwards, Jr.
Appl. No. : 09/715,876
Examiner : S.J.N. Devi
Docket No. : 13361.4001

fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: _____

11/06/05


JIM CUTLER